Records Management System

User Guide

August 2016

Information Technology Department
Records Management

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NDGov Account (Active Directory)
Required for access to ITD's Work Management System (WMS) and Records Management System (RMS).

Initial Setup
- Required to change password after initial set up
  - https://www.nd.gov/itd/chanpass/default.aspx
  - On the Change Password screen, the User field is your NDGOV id
- Must complete Password Change Information with challenge questions so the ITD Service Desk can verify your identification if you call for assistance.
  - Inside the network https://intranetapps.nd.gov/itd/passwordchg/emailentry.htm
  - Outside the network http://www.nd.gov/eforms/Doc/sfn52378.pdf
  - Try the link for inside the network first. If the page can't be displayed, use the link for outside the network.

Ongoing Maintenance
- Password expires every 90 days
- Customer won't receive an error message, just won't be able to log in to WMS or RMS
- Call ITD's Service Desk at (701) 328-4470 or (877) 328-4470 to reset your password

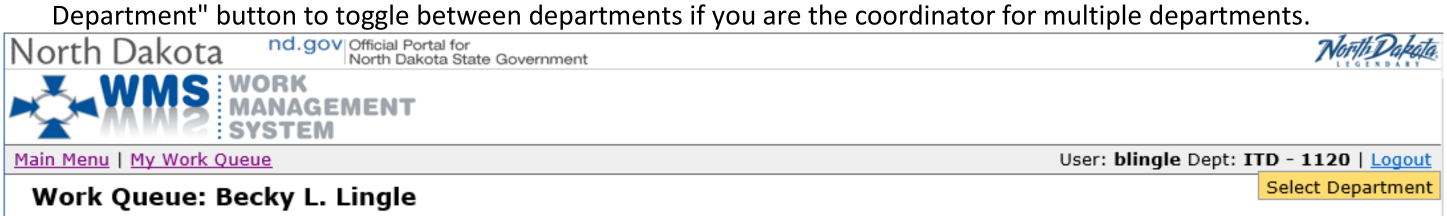
Password Requirements
ITD Security has rules as to password compliance. Refer to this page for current password standards:
https://www.nd.gov/itd/standards/access-control

Work Management System (WMS)
https://apps.nd.gov/itd/workorder/login.htm

All requests for work from ITD Records Management will be submitted through the Work Management System. The Work Management System involves two steps for submitting work: a Work Order and Service Requests. One work order can be used to submit multiple service requests for related work throughout the year. The work order should be closed at the end of the year and a new one submitted for the upcoming year.

1. Log in with NDGov ID and password.
2. A "Select Department" page will be displayed if you are the coordinator for multiple departments. Select the appropriate department.
3. Work Queue page will be displayed.

Work Order
1. On the far left of the gray bar is the "Main Menu" tab and "My Work Queue" tab.
2. On the far right of the gray bar is the department that you are logged into, the "Logout" link, and the "Select Department" button to toggle between departments if you are the coordinator for multiple departments.

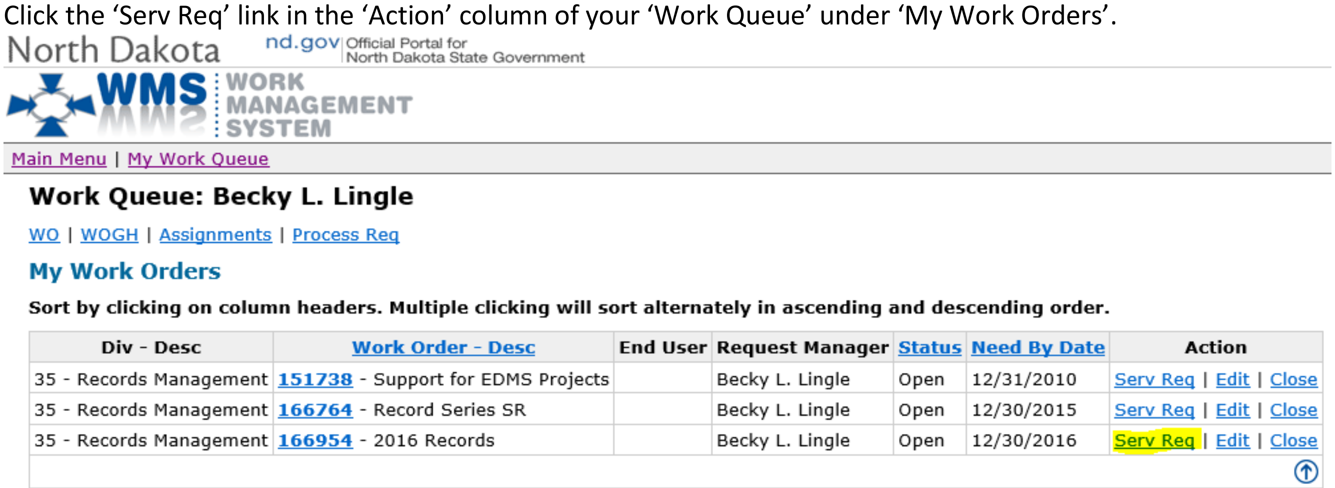


3. Select the 'Main Menu' link.
4. Under Work Orders, select 'Add Work Order' link.
5. The 'Add Work Order' page will be displayed.
6. The required fields have asterisks by them.

7. Division is a dropdown list. Click on the down arrow to display the divisions for which you are set up.
8. Fill in the ‘Add Work Order’ page:
    - Select the appropriate division from the Division dropdown list.
    - Enter a Charge Code. Some departments have validation built in to verify the code while others allow you to enter any alphanumeric combination. Check with your accounting area for specific requirements.
    - For the Short Description, enter '2016 Forms' or ‘2016 Records’ depending on the work required.
        - You can use this Work Order for all requests submitted for the year.
    - Enter the last day of the year (12/31/20XX) for the ‘Need By Date’.
    - Always leave ‘General Header’ marked 'No'.
    - Enter '2016 Forms' or ‘2016 Records’ depending on the work required for the ‘Narrative’.
    - More than one Work Order can be created each year based on the department needs.
9. Scroll to the bottom of the page, and select the 'Submit Work Order' button.
10. A 'Work Order Details' page will be displayed.
11. Service requests can now be created under the Work Order.

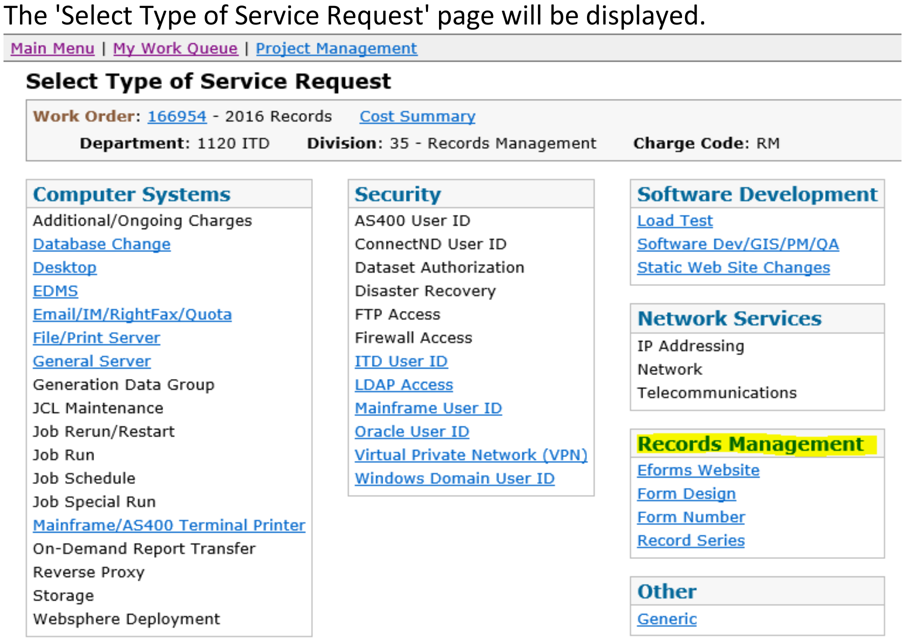
Service Request

1. Click the ‘Serv Req’ link in the ‘Action’ column of your ‘Work Queue’ under ‘My Work Orders’.



Div - Desc	Work Order - Desc	End User	Request Manager	Status	Need By Date	Action
35 - Records Management	151738 - Support for EDMS Projects		Becky L. Lingle	Open	12/31/2010	Serv Req | Edit | Close
35 - Records Management	166764 - Record Series SR		Becky L. Lingle	Open	12/30/2015	Serv Req | Edit | Close
35 - Records Management	166954 - 2016 Records		Becky L. Lingle	Open	12/30/2016	Serv Req | Edit | Close

2. The 'Work Order Service Requests' page will be displayed.
3. Click the 'Add Service Request' button.
4. The 'Select Type of Service Request' page will be displayed.



5. In the lower right under the Records Management section, click on the appropriate link for the type of service request needed.
   - Eforms Website - request to have a form posted to the eforms website for your customers to access
   - Form Design - request to have a form designed
   - Form Number - request for a new form number, or change or delete an existing form number
   - Record Series - request to add, change or delete a record series
6. The 'Request Information' screen will display. The 'Required Date' will be populated with a date calculated automatically based on the service request type. The 'Short Description' will be pre-filled with the Short Description from the Work Order. Change it to include more specific details related to the service request. Think of it like the subject line of an email.
7. Click 'Continue'.
8. Fill in the appropriate information for the Service Request type as specified below.
9. The 'Comments/Special Instructions' will be pre-filled with the Narrative from the Work Order. Change the information to include more specific details related to the request. Think of this areas as the text in the body of the email.
10. If you get interrupted while filling in a service request, select the 'Finish Later' button to keep your work until you get back to it. When ready to continue filling in information, select the service request under the Work Queue and click 'Edit' button.

Service Request Types

<u>Eforms Website</u>

1. Attach the form if designed by your department and fill in the 'Comments/Special Instructions'.
2. If the user is different from the individual filling out the service request, complete these fields.

<u>Form Design</u>

1. Attach a draft of the form if available and fill in the 'Comments/Special Instructions' with specific information related to the form.
2. If the user is different from the individual filling out the service request, complete these fields.
3. Once the form is designed, a draft will be attached to a Project Acceptance in WMS for your review and approval.
4. Click on the appropriate Project Acceptance in your Work Queue in WMS to view the attached draft form.
5. Click 'Approval Process' button.
6. If the design is accurate, click 'Approve' option and 'Submit' button.
7. If design changes are needed to the draft, click 'Return' option and add information in the 'Comments' regarding the changes. Click 'Submit' button.

<u>Form Number</u>

1. Indicate the 'Action' as 'Add', 'Change' or 'Delete' on the 'Request Information' screen.
2. Click 'Continue'.
3. Add: Fill in the 'Division Number/Name' and 'Form Name'. Attach the form if the department designed the form internally. The new State Form Number will be sent through WMS.
4. Change: Fill in the 'Division Number/Name', 'Form Name', 'Form Number' and include details in the 'Comments/Special Instructions' regarding the changes to the form.
5. Delete: Fill in 'Form Name' and 'Form Number'. Include the reason the form is being deleted in the 'Comments/Special Instructions' field.
6. Click 'Submit'.

<u>Record Series</u>

1. Indicate the 'Action' as 'Add', 'Change' or 'Delete' on the 'Request Information' screen.
2. Click 'Continue'.
3. Add: Fill in the required fields marked with an asterisk. Include any State Form Numbers associated with the record series.

4. Change: Fill in the required fields marked with an asterisk. Mark any fields that require changes on the record series and include details in the 'Comments/Special Instructions' field regarding the changes to the record series.
    - Able to request a change to a Record Control Number or move the record series to a new Division through a Change in the new system. With the old process, requests for a Delete and an Add had to be submitted.
    - Enter the current Record Control Number (RCN) or Division in the request and specify the change in the 'Comments/Special Instructions' field.
5. Delete: Fill in required fields marked with an asterisk and indicate the reason the record series is being deleted in the 'Comments/Special Instructions' field.
6. Can include attachments if necessary.
7. Click 'Submit'.

You can submit additional service requests for related work under the existing work order for the year. ITD recommends creating new work orders each year and closing out the old ones.

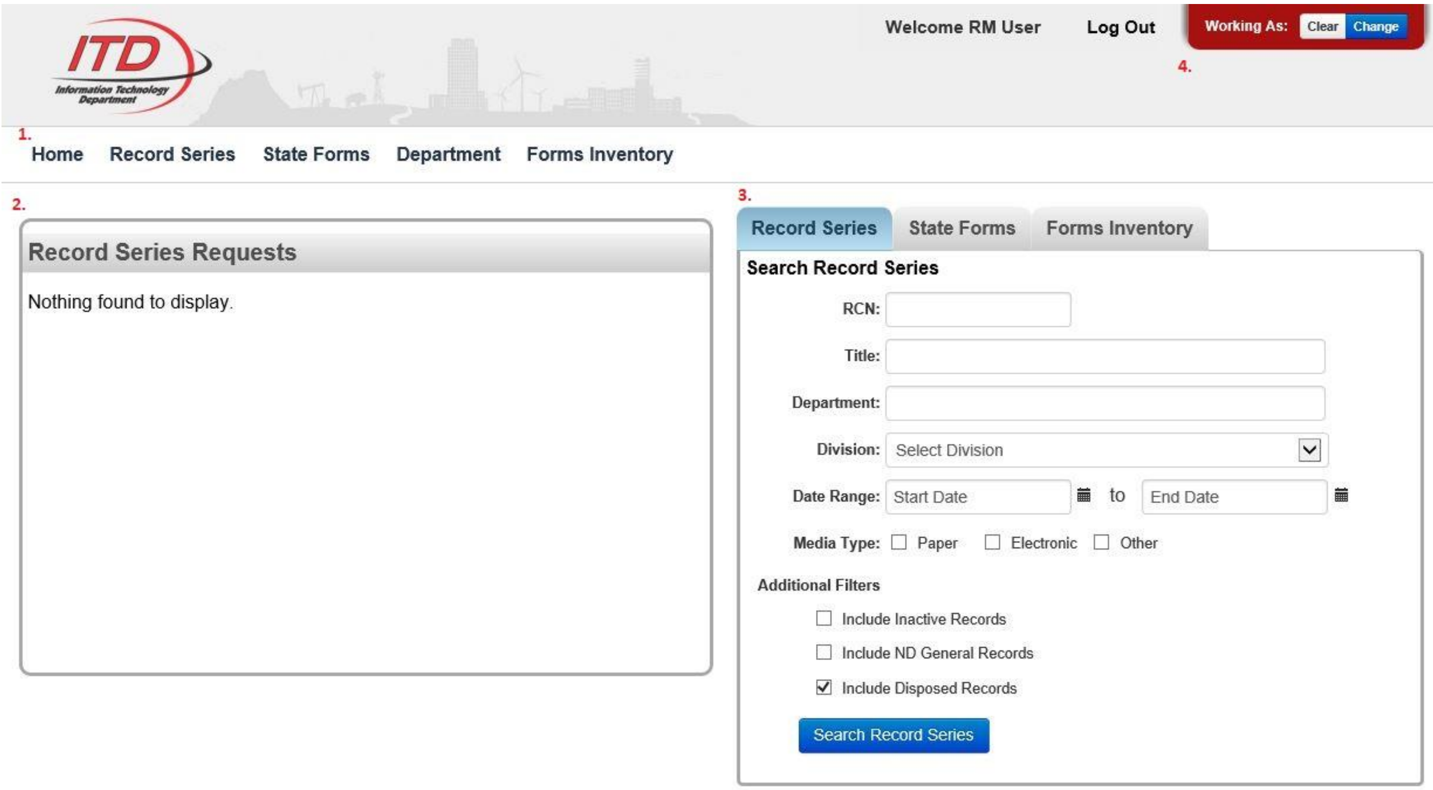
* **Records Series Requests will be exported to the Records Management System (RMS). The request will be routed for review and approval through the RMS. The coordinator will receive an email notification when there is work in the queue in RMS that requires action and when the request is completed.**

Records Management System (RMS)

https://apps.nd.gov/itd/recmgmt/rm/user/login

Log in with NDGov ID and password.

Home Screen



1. Home menu options across the top of the screen.
2. Record Series Requests on the left side of the screen displays requests submitted through WMS.
3. Records and forms options from the main menu at the top also appear on the right side of the screen.
4. Working As option: Click 'Change' button to preset the Department/Division drop downs to a specific area for all screens (Record Series search, State Forms search, etc). Useful when an individual is the records or forms coordinator for several departments or divisions and want to conduct work for one specific area.

Record Series Requests

Record Series requests submitted in WMS will appear in the Records Coordinators queue in this section. Able to track the review and approval process under the 'Action' column.

Record Series Requests

3 items found, displaying all items.

Date	RCN	Department	Division	Action	Type
09/08/2016	800525	Information Technology Dept	Records Management	Task Force - Approval	Add
09/08/2016	050102	Information Technology Dept	Records Management	Agency - Approval	Change
09/08/2016	800391	Information Technology Dept	Records Management	Records Manager	Delete

When the record series is ready for the records coordinator to review, an email notification will be distributed and the 'Action' will display as 'Agency - Approval' in RMS.

1. Click on the appropriate Record Series Request.
2. Details regarding the specific record series will display.
   - Changes to an existing record series will display in red text.
3. Review the information and scroll to the bottom of the screen.
4. Under 'Agency User' section, click the appropriate option:
   - If everything is accurate, click 'Yes - I approve this Record Series'.
   - If the information is not accurate, click 'No - I reject this Record Series'.
5. Click 'Submit' button.

Record Series

View information on record series by entering search criteria on either 'Record Series' tab (top or right side).

1. Enter a Department and Division to display a list of all record series for that area.
   - Able to export data to a spreadsheet.
   - Click on a Control Number to display details for a specific record series.
   - To display just the ND General Records Retention Schedule, enter General (9990) in the Department field, General (001) in the Division field, and select 'Include ND General Records' under Additional Filters.
2. Enter a Record Control Number (RCN) and Department to display details for a specific record series.
   - Record Series History is available on the right side of the screen.
   - Click on the 'Prior 2015 Historic' option under the 'Effective Date' column to display the PDF of the Record Series Descriptions maintained prior to RMS implementation.
   - Click the date option under the 'Effective Date' column to view changes made on that date. The changes will display in red text.

Narrow search results through filter options.

1. Record series are not deleted from the system. They are made Inactive and can be included in the search results.
2. Include records from the ND General Records Retention Schedule.
3. Records that have been disposed as part of the annual records disposal process are included by default.

Agency specific Records Retention Schedules with Descriptions are no longer available on ITD's website in the same format. Agency employees who don't have access to the Records Management System can search for record series at https://apps.nd.gov/itd/recmgmt/rm/recSer/retention.pdf

State Forms

View information on state forms by entering search criteria on either 'State Forms' tab (top or right side).

1. Enter Department and Division to display a list of all forms for that area.
   - Able to export data to a spreadsheet.
   - Click a specific form for details.
2. Enter a State Form Number (SFN) to display details for a specific form.
3. Enter all or part of a Title to display forms with a similar word in the title.
4. Form numbers are not deleted from the system. They are made Inactive and can be included in the search results.

Department

Lists the divisions with links to record series, state forms, records disposal, and forms inventory information.

Department	Division	Record Series	State Forms	Disposal	Disposal Month	Forms Inventory
Information Technology Dept (1120)	Records Management (004)	21	13	In-Process (0-92)	September	Incomplete

Forms Inventory

Forms coordinator will receive an email notification when the forms inventory process is initiated in July of each year. The forms inventory review must be completed by December 31.

1. Use one of the following options to access the Forms Inventory:
   - Option 1 - If logged in to RMS, click on the link in the email notification to be directed to the Forms Inventory Review.

   - Option 2 - Click 'Department' option from top menu.
     - List of divisions is displayed.
     - Click the link under the 'Forms Inventory' column for the appropriate division.

   - Option 3 - Click 'Forms Inventory' tab either on the top of the screen or on the right side of the screen.
     - Enter search criteria to locate the appropriate report.

2. Review the list of form numbers and form titles.
   - Click the option indicating the forms have been reviewed and are correct if the information is accurate.
   - Click the option indicating the forms have been reviewed and corrections are required if changes are needed to the forms inventory.
     - Submit updates to the forms inventory through WMS using a 'Form Number' service request.
   - Click 'Submit' button when appropriate selection is made.

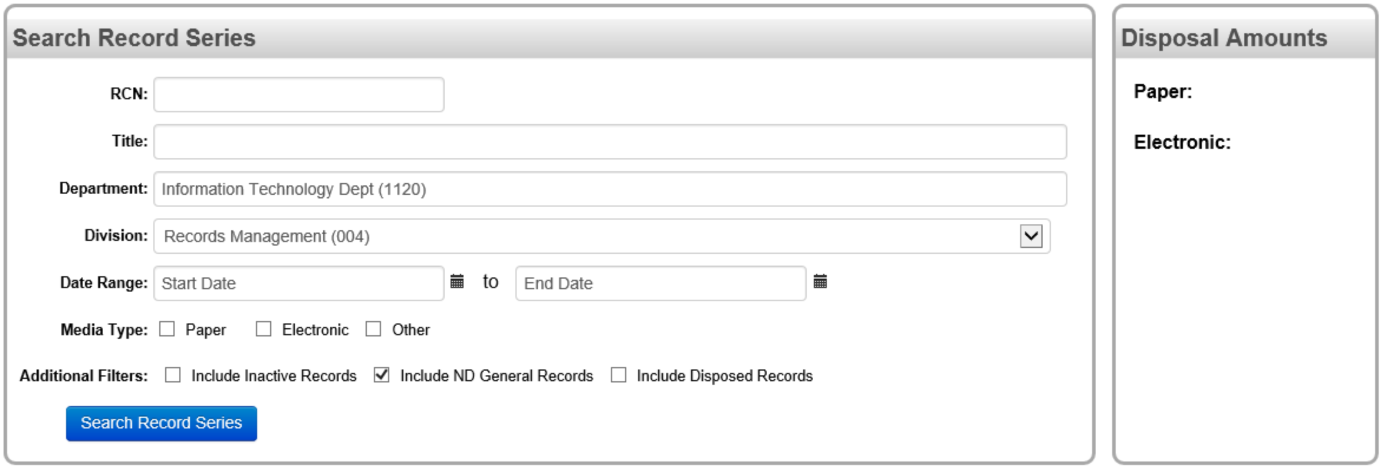
Records Disposal Process

Records coordinator will receive an email notification when their records disposal process is initiated. The disposal process must be completed within a year.

1. Click 'Department' option from top menu.
2. List of divisions is displayed.
3. Select link under the 'Records Disposal' column for the appropriate division.
4. Select the appropriate record to certify as disposed.
5. 'Records Disposal' area will display at the bottom of the Record Series screen.
6. The year and method for disposal are listed under the 'Disposal Information' area. Enter the volume disposed for the record series for Paper and Electronic.
7. Click 'Report and Finalize Disposal - Go to Next' if the disposal of record series is complete for the year.
8. Click 'Report Disposal - Go to Next' if additional records in this series will be disposed during the year.
   - Employees from regional or district offices who will be certifying the disposal of the same record series must click 'Report Disposal - Go to Next' so other regional or district offices can certify the records series as they complete their disposal. The overall Records Coordinator for the department/division will click the 'Report and Finalize Disposal - Go to Next' when all regional or district offices have completed their disposal process.
9. Continue through each record series until all disposals have been documented.
10. Records from the General Records Retention Schedule will be integrated with the department/division specific records. If your department also has a general records retention schedule, these records will also be integrated with the department/division specific records.

To share the records disposal information with other employees who don't have access to RMS, click 'Export Table Data' link from the search results for a department or department/division which includes retention and disposal information. A prompt will display asking whether to open or save the spreadsheet.

Record Series



Export Table Data

92 items found, displaying 1 to 50.[First/Prev] **1**, 2 [Next/Last]

RCN	Title	Department	Division	Active	Retention	Disposition	To Dispose
050102	AGENCY FEDERAL CORRESPONDENCE	Information Technology Dept	Records Management	Yes	1 year	Landfill/Delete backups	2014
140109	ASSOCIATIONS AND BOARDS	Information Technology Dept	Records Management	Yes	1 year	Landfill/Delete backups	2014
220309	ELECTRONIC RECORDS GROUP	Information Technology Dept	Records Management	Yes	UD - Updated/update	Landfill/Delete backups	UD
350104	RECORDS MANAGEMENT PRESENTATIONS	Information Technology Dept	Records Management	Yes	UD - Updated/update	Landfill/Delete backups	UD
650101	POLICIES, STANDARDS & GUIDELINES	Information Technology Dept	Records Management	Yes	UD - Updated/update	Landfill/Delete backups	UD
650111	RECORDS MANAGEMENT PROCEDURE MANUAL	Information Technology Dept	Records Management	Yes	UD - Updated/update	Archives	UD